PHA 5-Year and Annual Plan

U.S. Department of Housing and Urban Development Office of Public and Indian Housing

OMB No. 2577-0226 Expires 4/30/2011

1.0	PHA Information PHA Name: City of Scottsdale Housing Age PHA Type: ☐ Small ☐ High PHA Fiscal Year Beginning: (MM/YYYY):	Performing	☐ Standard	PHA Code: AZ032 HCV (Section 8)			
2.0	Inventory (based on ACC units at time of FY beginning in 1.0 above) Number of PH units:0 Number of HCV units: 735						
3.0	Submission Type						
4.0	PHA Consortia N/A] PHA Consor	tia: (Check box if submitting a joi	int Plan and complete table be	low.)		
	Participating PHAs	PHA Code	Program(s) Included in the Consortia	Programs Not in the Consortia	No. of Units in Each Program		
		2000	Consortia	Consortia	PH	HCV	
	PHA 1:						
	PHA 2: PHA 3:						
5.0	5-Year Plan. Complete items 5.1 and 5.2 on	ly at 5-Year Pl	an update.				
5.1	Mission. State the PHA's Mission for serving the needs of low-income, very low-income, and extremely low-income families in the PHA's jurisdiction for the next five years: Scottsdale Housing Agency's (SHA) mission is to improve the lives of low-income Scottsdale families by providing opportunities for high quality, safe and affordable housing, creating avenues to achieve self-sufficiency and serving all persons with dignity and respect. The SHA provides an integrated system of services, resources and opportunities to help people improve their lives, the lives of others, neighborhoods and the total community.						
5.2	 Goals and Objectives. Identify the PHA's quantifiable goals and objectives that will enable the PHA to serve the needs of low-income and very low-income, and extremely low-income families for the next five years. Include a report on the progress the PHA has made in meeting the goals and objectives described in the previous 5-Year Plan. With high housing costs throughout the region, affordable housing is a major need for extremely-low and very-low-income families. To support its mission the SHA will: Undertake proactive measures to ensure assisted housing is accessible regardless of race, color, religion, national origin, sex, familial status, and disability by affirmatively furthering fair housing. The SHA will sponsor at least two Fair Housing seminars annually and will continue to participate in the Arizona Fair Housing Partnership Ensure that accessible housing units, regardless of unit size, are available to persons with a variety of disabilities. SHA's Fair Housing Specialist and the City's ADA Coordinator provides information and educates person on Fair Housing and American's with Disabilities (ADA) Acts, responds to and provides referrals for fair housing and ADA discrimination complaints, and provides referrals for fair housing disputes. The Analysis of Impediments to Fair Housing is completed in accordance with federal regulations and will be updated in 2011 Continue to operate the HCV Program in accordance with Council adopted Administrative Plan, which includes revisions to the Plan adopted on March 23, 2010 Apply to HUD for Enhanced Vouchers to assist families in need of affordable housing in the event of a conversion of an owner opt-out Further educate HCV staff on the Violence Against Women Act (VAWA,) Landlord/Tenant Act, reasonable accommodations and fair housing compliance guidelines Manage Housing Assistance Payment (HAP) contracts to e						

- Monitor the monthly average per unit HAP cost in order to assist the highest number of participants, up to 735, within ACC
- Address the need for increased requests for housing services through strategic objectives as outlined in the City's 5-Year Housing and Human Services Consolidated Plan 2010-2014 as follows:
 - o Preserve affordability of quality rental housing through the HCV Program
 - Increase the supply of quality affordable rental housing through federal assistance programs including Community Development Block Grant (CDBG) and HOME Investment Partnership (HOME) Programs
 - Increase homeownership through Family Self-Sufficiency (FSS), Home Ownership Assistance Program (HOAP), and other resources for down payment assistance
- Conduct outreach efforts to landlords to encourage their participation in the HCV Program
- Provide referrals to programs and services to meet a variety of needs for extremely-low and very-low-income persons
- Continue to provide reasonable accommodations to persons with disabilities for city services and make referrals for services to other city departments and non-profit agencies

Progress In Meeting Goals of Previous 5-Year Plan:

SHA continues to achieve its mission and stated goals by expanding the supply of quality assisted housing, promoting economic opportunities and consistently seeking to ensure equal opportunity for affordable housing in our community. Accomplishments include:

- Completed the Analysis of Impediments (AI) to Fair Housing in 2006. The previous AI was conducted in 2001
- Completed first on-site HUD SEMAP audit and maintained "high performer" status
- Provided services to fifty-four FSS participants in 2009, resulting in eight graduations and \$39,776 disbursed in escrow
- Administered the HOAP program, which was implemented in 2007; homeownership obtained by two program participants through 2009
- Applied for and received 28 Enhanced Vouchers for the opt-out of Viviendas Scottsdale Apartments
- Expended \$5,866,639 in CDBG funds and \$1,643,379 in HOME funds for eligible housing related activities and public services (including planning and administration)
- Increased utilization rate from 90% to 98%
- Provided down payment assistance through the HOME Program
- Provided HUD approved homebuyer counseling and education to 131families through a partnership with Community Services of Arizona
- Provided home ownership workshops to 26 FSS participants through the FSS East Valley Alliance

PHA Plan Update

- (a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission:
- Resolution No. 8226, adopting revisions to the Scottsdale Housing Agency Administrative Plan (last adopted revisions July 1, 1998) to be approved by City Council on March 23, 2010 (see attachment 1)
- Reduced monthly HAP costs associated with the HCV Program, due to budget constraints by:
 - Not approving rental increases requests
 - o Processing new lease-ups, beginning April 1, 2009 at Maricopa County fair market rents.
 - o Reducing payment standards from 110% to 95% of Maricopa County fair market rents in October, 2009.
 - Addressing Earned Income Verification (EIV) discrepancies for under-reporting income situations proactively
- (b) Identify the specific location(s) where the public may obtain copies of the 5-Year and Annual PHA Plan. For a complete list of PHA Plan elements, see Section 6.0 of the instructions.

The PHA consulted with the Resident Advisory Board (RAB) and the Scottsdale Housing Board in the development and approval of the 5-Year and Annual Agency Plan and revisions to the SHA Administrative Plan The above referenced documents were available for public review and comment on the City's website and at the following locations: City of Scottsdale Housing Agency (main office lobby and official website) 7515 E. 1st St. Scottsdale, AZ 85251- Palomino Library 12575 E. Via Linda Scottsdale, AZ 85259 - Appaloosa Library 7377 E. Silverstone Dr Scottsdale, AZ 85255 - Civic Center Library 3839 N. Drinkwater Blvd Scottsdale, AZ 85251 - Arabian Library 10215 E. McDowell Mountain Ranch Rd Scottsdale, AZ 85255-Mustang Library 10101 N 90th St. Scottsdale, AZ 85258.

Public access to information regarding any activity outlined in this plan can be obtained by contacting the Community Assistance Office at (480) 312-7717.

6.0

Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership **Programs, and Project-based Vouchers.** *Include statements related to these programs as applicable.* (d) Homeownership Programs As required by 24 CFR Part 903.12 the SHA administers the Home Ownership Assistance Program (HOAP) which provides mortgage assistance to elderly or disabled HCV Program participants and participants enrolled in the FSS Program. Currently, there are two homeowners receiving mortgage assistance under the HOAP. Program participants are encouraged to use down payment assistance as well as Individual Development and Empowerment Accounts (IDEA) to purchase a home. HOAP Eligibility Criteria: Have rented in Scottsdale for at least one year on the City of Scottsdale's Housing Choice Voucher Program Have graduated from or participated in Scottsdale's Family Self-Sufficiency Program for at least one year (except elderly and disabled) Have had continuous full-time employment for a minimum of one year (except elderly and disabled). Meet credit and income requirements Have attended HUD approved home ownership education and counseling The Community Assistance Office* provides down payment assistance to income eligible and qualified families through the HOME funded First Time Homebuyers Program (FTHB). Deferred loans are provided to families who wish to purchase a primary residence within the geographic boundaries of the City. 7.0 FTHB Program Eligibility Criteria: First-time homebuyer No current ownership interests No outstanding credit or employment barriers to obtaining mortgage financing Household income below 80% AMI Have attended HUD approved home ownership education and counseling The City of Scottsdale partners with non-profit service providers to administer these programs. * The SHA is administered out of the Community Assistance Office 8.0 Capital Improvements. Please complete Parts 8.1 through 8.3, as applicable. Capital Fund Program Annual Statement/Performance and Evaluation Report. As part of the PHA 5-Year and Annual Plan, annually complete 8.1 and submit the Capital Fund Program Annual Statement/Performance and Evaluation Report, form HUD-50075.1, for each current and open CFP grant and CFFP financing. N/A Capital Fund Program Five-Year Action Plan. As part of the submission of the Annual Plan, PHAs must complete and submit the Capital Fund 8.2 Program Five-Year Action Plan, form HUD-50075.2, and subsequent annual updates (on a rolling basis, e.g., drop current year, and add latest year for a five year period). Large capital items must be included in the Five-Year Action Plan. Capital Fund Financing Program (CFFP). 8.3 Check if the PHA proposes to use any portion of its Capital Fund Program (CFP)/Replacement Housing Factor (RHF) to repay debt incurred to finance capital improvements. Housing Needs. Based on information provided by the applicable Consolidated Plan, information provided by HUD, and other generally available data, make a reasonable effort to identify the housing needs of the low-income, very low-income, and extremely low-income families who reside in the jurisdiction served by the PHA, including elderly families, families with disabilities, and households of various races and ethnic groups, and other families who are on the public housing and Section 8 tenant-based assistance waiting lists. The identification of housing needs must address issues of affordability, supply, quality, accessibility, size of units, and location. The 5-Year Housing and Human Services Consolidated Plan for 2010-2014 (Consolidated Plan) was developed, through a public participation process, to identify the needs of low and moderate-income residents and provide strategies to address those needs. Additionally, the Consolidated Plan identifies available local and federal resources to provide services to meet these needs. 9.0 The tables on the following pages (4 and 5) which are included in the 5-Year Consolidated Plan illustrate household by type, income and housing problem for renters and the supply and affordability of rental units in Scottsdale. Quality, accessibility, size and location of unit are evaluated through computer generated rent comparisons of qualified units. Points are assigned to each rental unit for the amenities, location, ADA accessibility and overall quality of the unit. A higher point rating increased the amount of rent considered reasonable and supports lease up in newer, higher priced communities in Scottsdale. Housing Quality Standards (HQS) and rent comparisons are used to determine the quality of units. Units that do not meet HQS are not permitted to participate in the HCV Program. The City's ADA Coordinator is a contact source for accessible units along with the national accessible apartment clearinghouse at www.accessibleapartments.org. The following chart developed from 2000 US Census data indicates the 58% of low-income Scottsdale households paid more than 50% of their income towards housing. Due to current market conditions, however, the SHA has experienced availability of more affordable units in various unit sizes with located in diverse locations.

Household by Type, Income, & Housing Problem Renter Households, Scottsdale

Income Category	Elderly 1 & 2 Member Households	Small Related (2-4)	Large Related (5 or more)	All Other Households	Total Renter
Extremely low-income households	(<= 30% AMI)				
# households	904	625	143	1,380	3,052
% households experiencing any housing problem	64.6	86.4	100.0	69.9	73.1
% households with a cost burden >30%	64.6	82.4	86.0	69.2	71.3
% households with a cost burden >50%	57.4	76.0	72.0	67.0	66.3
Low-income households (>30% - 5	50% AMI)				
# households	1,114	7000	180	954	2,948
% households experiencing any housing problem	81.6	96.4	100.0	94.8	90.5
% households with a cost burden >30%	80.7	93.6	55.6	93.7	86.4
% households with a cost burden >50%	61.8	41.4	30.6	71.7	58.3
Moderate income households (>50% - 80% AMI)					
# households	1,015	1,495	284	2,510	5,304
% households experiencing any housing problem	74.4	68.9	64.8	76.7	73.4
% households with a cost burden >30%	73.4	62.2	26.1	76.3	69.1
% households with a cost burden >50%	24.1	8.7	0.0	13.9	13.7
Above moderate income household	ls (> 80% AMI)				
# households	1,838	5,680	545	8,180	16,243
% households experiencing any housing problem	28.5	14.3	49.5	12.4	16.1
% households with a cost burden >30%	28.2	7.4	2.8	10.6	11.2
% households with a cost burden >50%	9.5	.5	0.0	0.4	1.4
All households					
# households	4,871	8,500	1,152	13,024	27,547
% households experiencing any housing problem	56.9	36.0	67.4	36.9	41.4
% households with a cost burden >30%	56.4	29.6	27.1	35.6	37.1
% households with a cost burden >50%	33.4	10.9	13.7	15.3	17.1

Source: HUD 2000 SOCDS "CHAS" tables

9.0

Housing Units by Affordability Rental Units, Scottsdale

Renter units	Number of bedrooms/unit			Total
	0-1	2	3+	
Units with rents affordable to extremely low-income households (<= 30%)	% AMI)			
# occupied units	415	690	610	1,715
% occupied by extremely low-income households	66.3	25.4	15.6	31.8
% units with some problem	14.5	13.8	7.4	11.7
# vacant for-rent units	0	35	15	50
Units with rents affordable to low-income households (>30% - 50% AMI	I)			
# occupied units	435	510	235	1,180
% occupied by very low-income households	51.7	35.3	29.8	40.3
% units with some problem	51.7	37.3	31.9	41.5
# vacant for-rent units	25	110	70	205
Units with rents affordable to moderate income households (>50% - 80%	AMI)			
# occupied units	5,740	6,140	1,365	13,245
% occupied by moderate income households	54.0	39.0	40.7	45.7
% units with some problem	49.2	37.4	42.5	43.0
# vacant for-rent units	575	1,055	130	1,760
Units with rents affordable to above moderate income households (>80% AMI)				
# occupied units	3,900	4,755	2,745	11,400
# vacant for-rent units	320	595	285	1,200

Source: HUD 2000 SOCDS "CHAS" tables

Race/Ethnicity Demographics in Scottsdale

Race/Ethnicity*	Percentage
White	92.2%
Asian/Pacific Islander	2.1%
African American	1.2%
Native American	0
Other	2.3%
Two or more races	1.7%

Source: US Census 2000

9.0

^{*7%} of Scottsdale's population in 2000 identified themselves as Hispanic.

Seniors (Elderly and Frail Elderly)

According to the 2000 U.S. Census, more than 16 percent of Scottsdale's population consisted of elderly/frail elderly who were 60 years or older. Today, this target group is one of the fastest growing populations in the City. Scottsdale's growing senior population will place significant demands on the local housing market that is currently unable to provide adequate affordable senior housing.

According to DES reports, a majority of Scottsdale's seniors who are on fixed incomes average only 65 percent of the median household income for a single person household in Maricopa County. It is currently estimated that, in Scottsdale, approximately 9,200 renters and 5,750 homeowners, many of whom are senior citizens and all of whom are below 80 percent of median income, are in need of housing assistance. As of October 2009, the City of Scottsdale Housing Agency reported that 57 seniors (60+) were on the HCV Program waiting list.

9.1

Strategy for Addressing Housing Needs. Provide a brief description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. Note: Small, Section 8 only, and High Performing PHAs complete only for Annual Plan submission with the 5-Year Plan.

The SHA completed the lease up of one waiting list and started a new waiting list in November 2007. As of January 21, 2010 there were 248 families on the HCV Program waiting list, with an approximate wait time of more than 3 years. The majority of families on the waiting list are extremely low-income (<30% AML). According to data from the current wait list, the demand for one bedroom units will outweigh the demand for other bedroom sizes.

SHA will assist as many families as possible with the funding sources allocated. As vouchers become available through attrition, applicants will be pulled from the waiting list. When the wait time of the current wait list is less than 24 months the SHA will reopen the wait list for new applications.

Needs Identified	Strategies of PHA to address needs
Job losses-decrease in income	Make referrals to the Family Self-Sufficiency Program & Vista-Paiute Job Prep Program
Need for affordable homes in a variety of sizes and types	Provide courtesy unit listings to assist in locating affordable units in a variety of areas. Market Homeownership Program to eligible Section 8 participants.
Foreclosure assistance for HCV Program participants	Provide technical assistance to participants residing in a foreclosed rental property
Utility assistance	Make referrals to Vista Del Camino - Community Action Program (CAP)
Housing choice/locations	Market program to landlords in all census tracts to achieve de-concentration (periodic mail outs introducing program and the benefits of participating in program)

10.0 Additional Information. Describe the following, as well as any additional information HUD has requested.

(a) Progress in Meeting Mission and Goals. Provide a brief statement of the PHA's progress in meeting the mission and goals described in the 5-Year Plan.

The SHA has:

- Hosted one local Fair Housing Seminar in month October 29, 2009 and will be hosting a second seminar by the end of 2010
- Completed revisions to the SHA Administrative Plan
- Required HCV staff to attend training on the Landlord/Tenant Act and lease review in month November 23, 2009
- Prepared a monthly budget expenditure report to monitor HCV expenditures and utilization rate
- Pulled applicants off the HCV waitlist in March 2010
- Developed and implementation new spreadsheets to monitor program accuracy including file review, HQS inspections, program eligibility

The SHA will be:

- Preparing for SEMAP review beginning June 30, 2010
- Mailing letter of interest to potential landlords in August 2010
- Continue to meet its stated mission and goals by providing direct services to families and referrals to the City's Human Service Centers and various social service and non-profit agencies
- (b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA's definition of "significant amendment" and "substantial deviation/modification" N/A

11.0

Required Submission for HUD Field Office Review. In addition to the PHA Plan template (HUD-50075), PHAs must submit the following documents. Items (a) through (g) may be submitted with signature by mail or electronically with scanned signatures, but electronic submission is encouraged. Items (h) through (i) must be attached electronically with the PHA Plan. **Note:** Faxed copies of these documents will not be accepted by the Field Office.

- (a) Form HUD-50077, PHA Certifications of Compliance with the PHA Plans and Related Regulations (which includes all certifications relating to Civil Rights)
- (b) Form HUD-50070, Certification for a Drug-Free Workplace (PHAs receiving CFP grants only)
- (c) Form HUD-50071, Certification of Payments to Influence Federal Transactions (PHAs receiving CFP grants only)
- (d) Form SF-LLL, Disclosure of Lobbying Activities (PHAs receiving CFP grants only)
- (e) Form SF-LLL-A, Disclosure of Lobbying Activities Continuation Sheet (PHAs receiving CFP grants only)
- (f) Resident Advisory Board (RAB) comments. Comments received from the RAB must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations.
- (g) Challenged Elements
- (h) Form HUD-50075.1, Capital Fund Program Annual Statement/Performance and Evaluation Report (PHAs receiving CFP grants only)
- (i) Form HUD-50075.2, Capital Fund Program Five-Year Action Plan (PHAs receiving CFP grants only)

This information collection is authorized by Section 511 of the Quality Housing and Work Responsibility Act, which added a new section 5A to the U.S. Housing Act of 1937, as amended, which introduced 5-Year and Annual PHA Plans. The 5-Year and Annual PHA plans provide a ready source for interested parties to locate basic PHA policies, rules, and requirements concerning the PHA's operations, programs, and services, and informs HUD, families served by the PHA, and members of the public of the PHA's mission and strategies for serving the needs of low-income and very low-income families. This form is to be used by all PHA types for submission of the 5-Year and Annual Plans to HUD. Public reporting burden for this information collection is estimated to average 12.68 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. HUD may not collect this information, and respondents are not required to complete this form, unless it displays a currently valid OMB Control Number.

Privacy Act Notice. The United States Department of Housing and Urban Development is authorized to solicit the information requested in this form by virtue of Title 12, U.S. Code, Section 1701 et seq., and regulations promulgated thereunder at Title 12, Code of Federal Regulations. Responses to the collection of information are required to obtain a benefit or to retain a benefit. The information requested does not lend itself to confidentiality

Instructions form HUD-50075

Applicability. This form is to be used by all Public Housing Agencies (PHAs) with Fiscal Year beginning April 1, 2008 for the submission of their 5-Year and Annual Plan in accordance with 24 CFR Part 903. The previous version may be used only through April 30, 2008.

1.0 PHA Information

Include the full PHA name, PHA code, PHA type, and PHA Fiscal Year Beginning (MM/YYYY).

2.0 Inventory

Under each program, enter the number of Annual Contributions Contract (ACC) Public Housing (PH) and Section 8 units (HCV).

3.0 Submission Type

Indicate whether this submission is for an Annual and Five Year Plan, Annual Plan only, or 5-Year Plan only.

4.0 PHA Consortia

Check box if submitting a Joint PHA Plan and complete the table.

5.0 Five-Year Plan

Identify the PHA's Mission, Goals and/or Objectives (24 CFR 903.6). Complete only at 5-Year update.

- **5.1 Mission**. A statement of the mission of the public housing agency for serving the needs of low-income, very low-income, and extremely low-income families in the jurisdiction of the PHA during the years covered under the plan.
- **5.2 Goals and Objectives.** Identify quantifiable goals and objectives that will enable the PHA to serve the needs of low-income, very low-income, and extremely low-income families.
- **6.0 PHA Plan Update.** In addition to the items captured in the Plan template, PHAs must have the elements listed below readily available to the public. Additionally, a PHA must:
 - (a) Identify specifically which plan elements have been revised since the PHA's prior plan submission.
 - (b) Identify where the 5-Year and Annual Plan may be obtained by the public. At a minimum, PHAs must post PHA Plans, including updates, at each Asset Management Project (AMP) and main office or central office of the PHA. PHAs are strongly encouraged to post complete PHA Plans on its official website. PHAs are also encouraged to provide each resident council a copy of its 5-Year and Annual Plan.

PHA Plan Elements. (24 CFR 903.7)

 Eligibility, Selection and Admissions Policies, including Deconcentration and Wait List Procedures. Describe the PHA's policies that govern resident or tenant eligibility, selection and admission including admission preferences for both public housing and HCV and unit assignment policies for public housing; and procedures for maintaining waiting lists for admission to public housing and address any site-based waiting lists.

- 2. Financial Resources. A statement of financial resources, including a listing by general categories, of the PHA's anticipated resources, such as PHA Operating, Capital and other anticipated Federal resources available to the PHA, as well as tenant rents and other income available to support public housing or tenant-based assistance. The statement also should include the non-Federal sources of funds supporting each Federal program, and state the planned use for the resources.
- Rent Determination. A statement of the policies of the PHA governing rents charged for public housing and HCV dwelling units.
- 4. Operation and Management. A statement of the rules, standards, and policies of the PHA governing maintenance management of housing owned, assisted, or operated by the public housing agency (which shall include measures necessary for the prevention or eradication of pest infestation, including cockroaches), and management of the PHA and programs of the PHA.
- Grievance Procedures. A description of the grievance and informal hearing and review procedures that the PHA makes available to its residents and applicants.
- 6. Designated Housing for Elderly and Disabled Families. With respect to public housing projects owned, assisted, or operated by the PHA, describe any projects (or portions thereof), in the upcoming fiscal year, that the PHA has designated or will apply for designation for occupancy by elderly and disabled families. The description shall include the following information: 1) development name and number; 2) designation type; 3) application status; 4) date the designation was approved, submitted, or planned for submission, and; 5) the number of units affected.
- 7. Community Service and Self-Sufficiency. A description of: (1) Any programs relating to services and amenities provided or offered to assisted families; (2) Any policies or programs of the PHA for the enhancement of the economic and social self-sufficiency of assisted families, including programs under Section 3 and FSS; (3) How the PHA will comply with the requirements of community service and treatment of income changes resulting from welfare program requirements. (Note: applies to only public housing).
- 8. Safety and Crime Prevention. For public housing only, describe the PHA's plan for safety and crime prevention to ensure the safety of the public housing residents. The statement must include: (i) A description of the need for measures to ensure the safety of public housing residents; (ii) A description of any crime prevention activities conducted or to be conducted by the PHA; and (iii) A description of the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities.

- Pets. A statement describing the PHAs policies and requirements pertaining to the ownership of pets in public housing.
- 10. Civil Rights Certification. A PHA will be considered in compliance with the Civil Rights and AFFH Certification if: it can document that it examines its programs and proposed programs to identify any impediments to fair housing choice within those programs; addresses those impediments in a reasonable fashion in view of the resources available; works with the local jurisdiction to implement any of the jurisdiction's initiatives to affirmatively further fair housing; and assures that the annual plan is consistent with any applicable Consolidated Plan for its jurisdiction.
- Fiscal Year Audit. The results of the most recent fiscal year audit for the PHA.
- 12. Asset Management. A statement of how the agency will carry out its asset management functions with respect to the public housing inventory of the agency, including how the agency will plan for the long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs for such inventory.
- 13. Violence Against Women Act (VAWA). A description of: 1) Any activities, services, or programs provided or offered by an agency, either directly or in partnership with other service providers, to child or adult victims of domestic violence, dating violence, sexual assault, or stalking; 2) Any activities, services, or programs provided or offered by a PHA that helps child and adult victims of domestic violence, dating violence, sexual assault, or stalking, to obtain or maintain housing; and 3) Any activities, services, or programs provided or offered by a public housing agency to prevent domestic violence, dating violence, sexual assault, and stalking, or to enhance victim safety in assisted families.
- 7.0 Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers
 - (a) Hope VI or Mixed Finance Modernization or Development. 1) A description of any housing (including project number (if known) and unit count) for which the PHA will apply for HOPE VI or Mixed Finance Modernization or Development; and 2) A timetable for the submission of applications or proposals. The application and approval process for Hope VI, Mixed Finance Modernization or Development, is a separate process. See guidance on HUD's website at: http://www.hud.gov/offices/pih/programs/ph/hope6/index.cfm
 - (b) Demolition and/or Disposition. With respect to public housing projects owned by the PHA and subject to ACCs under the Act: (1) A description of any housing (including project number and unit numbers [or addresses]), and the number of affected units along with their sizes and accessibility features) for which the PHA will apply or is currently pending for demolition or disposition; and (2) A timetable for the demolition or disposition. The application and approval process for demolition and/or disposition is a separate process. See guidance on HUD's

website at:

http://www.hud.gov/offices/pih/centers/sac/demo_dispo/index.cfm

Note: This statement must be submitted to the extent **that approved and/or pending** demolition and/or disposition has changed.

(c) Conversion of Public Housing. With respect to public housing owned by a PHA: 1) A description of any building or buildings (including project number and unit count) that the PHA is required to convert to tenant-based assistance or that the public housing agency plans to voluntarily convert; 2) An analysis of the projects or buildings required to be converted; and 3) A statement of the amount of assistance received under this chapter to be used for rental assistance or other housing assistance in connection with such conversion. See guidance on HUD's website at: http://www.hud.gov/offices/pih/centers/sac/conversion.cfm

- (d) Homeownership. A description of any homeownership (including project number and unit count) administered by the agency or for which the PHA has applied or will apply for approval.
- (e) Project-based Vouchers. If the PHA wishes to use the project-based voucher program, a statement of the projected number of project-based units and general locations and how project basing would be consistent with its PHA Plan.
- 8.0 Capital Improvements. This section provides information on a PHA's Capital Fund Program. With respect to public housing projects owned, assisted, or operated by the public housing agency, a plan describing the capital improvements necessary to ensure long-term physical and social viability of the projects must be completed along with the required forms. Items identified in 8.1 through 8.3, must be signed where directed and transmitted electronically along with the PHA's Annual Plan submission.
 - 8.1 Capital Fund Program Annual Statement/Performance and Evaluation Report. PHAs must complete the Capital Fund Program Annual Statement/Performance and Evaluation Report (form HUD-50075.1), for each Capital Fund Program (CFP) to be undertaken with the current year's CFP funds or with CFFP proceeds. Additionally, the form shall be used for the following purposes:
 - (a) To submit the initial budget for a new grant or CFFP;
 - (b) To report on the Performance and Evaluation Report progress on any open grants previously funded or CFFP; and
 - (c) To record a budget revision on a previously approved open grant or CFFP, e.g., additions or deletions of work items, modification of budgeted amounts that have been undertaken since the submission of the last Annual Plan. The Capital Fund Program Annual Statement/Performance and Evaluation Report must be submitted annually.

Additionally, PHAs shall complete the Performance and Evaluation Report section (see footnote 2) of the *Capital Fund Program Annual Statement/Performance and Evaluation* (form HUD-50075.1), at the following times:

- At the end of the program year; until the program is completed or all funds are expended;
- When revisions to the Annual Statement are made, which do not require prior HUD approval, (e.g., expenditures for emergency work, revisions resulting from the PHAs application of fungibility); and
- Upon completion or termination of the activities funded in a specific capital fund program year.

8.2 Capital Fund Program Five-Year Action Plan

PHAs must submit the *Capital Fund Program Five-Year Action Plan* (form HUD-50075.2) for the entire PHA portfolio for the first year of participation in the CFP and annual update thereafter to eliminate the previous year and to add a new fifth year (rolling basis) so that the form always covers the present five-year period beginning with the current year.

8.3 Capital Fund Financing Program (CFFP). Separate, written HUD approval is required if the PHA proposes to pledge any

- portion of its CFP/RHF funds to repay debt incurred to finance capital improvements. The PHA must identify in its Annual and 5year capital plans the amount of the annual payments required to service the debt. The PHA must also submit an annual statement detailing the use of the CFFP proceeds. See guidance on HUD's
- http://www.hud.gov/offices/pih/programs/ph/capfund/cffp.cfm
- 9.0 Housing Needs. Provide a statement of the housing needs of families residing in the jurisdiction served by the PHA and the means by which the PHA intends, to the maximum extent practicable, to address those needs. (Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).
 - 9.1 Strategy for Addressing Housing Needs. Provide a description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. (Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).
- 10.0 Additional Information. Describe the following, as well as any additional information requested by HUD:
 - Progress in Meeting Mission and Goals. PHAs must include (i) a statement of the PHAs progress in meeting the mission and goals described in the 5-Year Plan; (ii) the basic criteria the PHA will use for determining a significant amendment from its 5-year Plan; and a significant amendment or modification to its 5-Year Plan and Annual Plan. (Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).
 - Significant Amendment and Substantial Deviation/Modification. PHA must provide the definition of "significant amendment" and "substantial deviation/modification". (Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan.)

- PHAs must include or reference any applicable memorandum of agreement with HUD or any plan to improve performance. (Note: Standard and Troubled PHAs complete annually).
- 11.0 Required Submission for HUD Field Office Review. In order to be a complete package, PHAs must submit items (a) through (g), with signature by mail or electronically with scanned signatures. Items (h) and (i) shall be submitted electronically as an attachment to the PHA
 - Form HUD-50077, PHA Certifications of Compliance with the PHA Plans and Related Regulations
 - Form HUD-50070, Certification for a Drug-Free Workplace (PHAs receiving CFP grants only)
 - Form HUD-50071, Certification of Payments to Influence Federal Transactions (PHAs receiving CFP grants only)
 - Form SF-LLL, Disclosure of Lobbying Activities (PHAs receiving CFP grants only)
 - Form SF-LLL-A, Disclosure of Lobbying Activities Continuation Sheet (PHAs receiving CFP grants only)
 - Resident Advisory Board (RAB) comments.
 - Challenged Elements. Include any element(s) of the PHA Plan that is challenged.
 - (h) Form HUD-50075.1, Capital Fund Program Annual Statement/Performance and Evaluation Report (Must be attached electronically for PHAs receiving CFP grants only). See instructions in 8.1.
 - Form HUD-50075.2, Capital Fund Program Five-Year Action Plan (Must be attached electronically for PHAs receiving CFP grants only). See instructions in 8.2.